



60/2171#4  
BT  
10-7-02

Express Mail No.: EL 500 575 992 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Tarrant, J.

Serial No.: 10/029,731

Filed: 21 DEC 2002

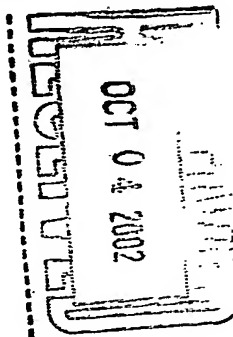
For: METHOD AND SYSTEM FOR SHARING INVESTOR  
INFORMATION OVER AN ELECTRONIC NETWORK

Confirmation No.: 5039

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OCT 03 2002  
**GROUP 3600**

Group Art  
Unit: 2171

Attorney Docket  
No.: 10727-003



INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

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In accordance with the duty of disclosure provisions of 37 C.F.R. §1.56, there is hereby provided certain information which the Examiner may consider material to the examination of the subject U.S. patent application. It is requested that the Examiner make this information of record if it is deemed material to the examination of the application.

1. Enclosures accompanying this Information Disclosure Statement are:

- 1a. ☒ A list of all patents, publications, applications, or other information submitted for consideration by the office.
- 1b. A legible copy of :
  - ☒ Each U.S. patent application publication and U.S. and foreign patent;
  - ☒ Each publication or that portion which caused it to be listed on the PTO-1449;
  - ☐ For each cited pending U.S. application, the application specification including the claims, and any drawing of the application, or portion of the application which caused it to be listed on the PTO-1449 including any claims directed to that portion;
  - ☐ all other information or portion which caused it to be listed on the PTO-1449.
- 1c. ☒ An English language copy of search report(s) from a counterpart foreign application or PCT International Search Report.



- ☐ Explanations of relevancy (ATTACHMENT 1(d), hereto) or English language abstracts of the non-English language publications.
2. ☒ This Information Disclosure Statement is filed under 37 C.F.R. §1.97(b):
- ☐ Within three months of the filing date of a national application other than a continued prosecution application under §1.53(d);
  - ☐ Within three months of the date of entry of the national stage as set forth in §1.491 in an international application;
  - ☒ Before the mailing of the first Office action on the merits;
  - ☐ Before the mailing of a first Office action after the filing of a request for continued examination under §1.114.
3. ☐ This Information Disclosure Statement is filed under 37 C.F.R. §1.97(c) after the period specified in 37 C.F.R. §1.97(b), but before the mailing date of any of a final action under 37 C.F.R. §1.113, a notice of allowance under 37 C.F.R. §1.311 or an action that otherwise closes prosecution in the application.

*(Check either Item 3a or 3b)*

- 3a. ☐ The Certification Statement in Item 5 below is applicable. Accordingly, no fee is required.
- 3b. ☐ The \$180.00 fee set forth in 37 C.F.R. §1.17(p) in accordance with 37 C.F.R. §1.97(c) is:
- ☐ enclosed
  - ☐ to be charged to Pennie & Edmonds LLP Deposit Account No. 16-1150.

*(Item 3b to be checked if any reference known for more than 3 months)*

4. ☐ This Information Disclosure Statement is filed under 37 C.F.R. §1.97(d) after the period specified in 37 C.F.R. §1.97(c), but on or before the date of payment of the issue fee.
5. ☐ Certification Statement *(applicable if Item 3a or Item 4 is checked)*

*(Check either Item 5a or 5b)*

- 5a. ☐ In accordance with 37 C.F.R. §1.97(e)(1), it is certified that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.
- 5b. ☐ In accordance with 37 C.F.R. §1.97(e)(2), it is certified that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the undersigned after making reasonable inquiry, was known by any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

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This application is a continuation application under 37 C.F.R. §1.60 or §1.53(b) or (d).

7. ☐ This is a Supplemental Information Disclosure Statement. (*Check either Item 7a or 7b*)

7a. ☐ This Supplemental Information Disclosure Statement under 37 C.F.R. §1.97(f) supplements the Information Disclosure Statement filed on \_\_\_\_\_. A bona fide attempt was made to comply with 37 C.F.R. §1.98, but inadvertent omissions were made. These omissions have been corrected herein. Accordingly, additional time is requested so that this Supplemental Information Disclosure Statement can be considered as if properly filed on \_\_\_\_\_.

8. ☐ In accordance with 37 C.F.R. §1.98, a concise explanation of what is presently understood to be the relevance of each non-English language publication is:

(*Check Item 8a, 8b, or 8c*)

8a. ☐ satisfied because all non-English language publications were cited on the enclosed English language copy of the PCT International Search Report or the search report from a counterpart foreign application indicating the degree of relevance found by the foreign office.

8b. ☐ set forth in the application.

8c. ☐ enclosed as an attachment hereto.

9. ☒ The Commissioner is authorized to charge any additional fee required or credit any overpayment for this Information Disclosure Statement and/or Petition to Pennie & Edmonds LLP Deposit Account No. 16-1150.

10. ☒ No admission is made that the information cited in this Statement is, or is considered to be, material to patentability nor a representation that a search has been made (other than a search report of a foreign counterpart application or PCT International Search Report if submitted herewith). 37 C.F.R. §§1.97(g) and (h). Moreover, the inclusion of references cited in the PCT International Search Report is not an admission that such references were published before the critical date of the subject application or otherwise qualify as prior art.

Respectfully submitted,

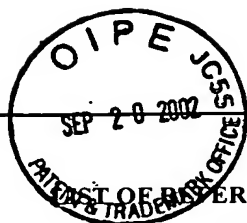
Date September 20, 2002

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<b>REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	10727-003	10/029,731
	APPLICANT Tarrant, J.	
	FILING DATE	GROUP
	21 DEC 2001	2171

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE*	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	Pub. App. No. US 2002/0032630 A1	14 MAR 02	Peng et al.			
	AB	Pub. App. No. US 2001/0042037 A1	15 NOV 01	Kam et al.			
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						

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## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	AJ							
	AK							
	AL							
	AM							
	AN							

## OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

	AO	"Market Summary Column," The News Tribune, 24 MAR 1998
	AP	"How to Become a 'Smarter' Investor," Tulsa World, 13 FEB 2000
	AQ	"The Zacks Rank: Harnessing the Power of Earnings Estimate Revisions," alleged to be available at <a href="http://my.zacks.com/tour/zrank.pdf">http://my.zacks.com/tour/zrank.pdf</a>

EXAMINER	DATE CONSIDERED
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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